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7-16-2004  
Date

Anna M. Matthews  
Anna M. Matthews

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.	:	10/791,667	Confirmation No.:	2723
Applicant	:	John K. Roberts		
Filed	:	March 2, 2004		
TC/A.U.	:	2875		
Examiner	:			
Docket No.	:	GEN10 P-333A		
Customer No.	:	028,469		

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §1.97(b)

Dear Sir:

Pursuant to 37 CFR §§1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached Forms 1449A/PTO and 1449B/PTO. This Information Disclosure Statement is being filed more than three months after the filing date of the above referenced application but, to the undersigned's knowledge, before the mailing date of a first Office Action on the merits for the above referenced application.

A copy of each of the listed foreign patent documents and non-patent literature are attached.

Applicant : John K. Roberts  
Appln. No. : 10/791,667  
Page : 2

English translations for some of the non-English language documents are attached. The following is a concise statement of relevance of the non-English language documents for which translations were not provided.

1. JP 62-235787 discloses an LED assembly (see Figs. 1-3).
2. JP 62-18775 discloses an LED assembly (see Figs. 1, 2, 4, and 5).
3. DE 39 16 875 discloses a RGB LED assembly (see Figs. 1-4 and 6).

As the Office has waived the requirement under 37 CFR §1.98(a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication, a copy of each of the listed U.S. patents and each U.S. patent application publication document are not included with the submission of attached Form 1449A/PTO. Applicants respectfully request that the Examiner consider the listed documents and evidence that consideration by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute “prior art.” If it should be determined that any of the listed documents do not constitute “prior art” under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 16-2463.

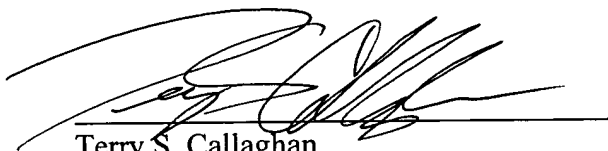
Applicant : John K. Roberts  
Appln. No. : 10/791,667  
Page : 3

Respectfully submitted by,

JOHN K. ROBERTS

Price, Heneveld, Cooper,  
DeWitt & Litton LLP

7-16-2004  
Date



Terry S. Callaghan  
Registration No. 34,559  
695 Kenmoor, S.E.  
Post Office Box 2567  
Grand Rapids, Michigan 49501  
(616) 949-9610

TSC/amm



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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 3

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

### Complete if Known

Application Number	10/791.667
Filing Date	03/02/2004
First Named Inventor	John K. Roberts
Art Unit	2875
Examiner Name	
Attorney Docket Number	GEN10 P-333A

### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6152590	11/28/2000	Fürst et al.	
		US- 5998925	12/07/1999	Shimizu et al.	
		US- 5934798	08/10/1999	Roller et al.	
		US- 5921652	07/13/1999	Parker et al.	
		US- 5898185	04/27/1999	Bojarczuk, Jr. et al.	
		US- 5895115	04/20/1999	Parker et al.	
		US- 5851063	12/22/1998	Doughty et al.	
		US- 5847507	12/08/1998	Butterworth et al.	
		US- 5836676	11/17/1998	Ando et al.	
		US- 5803579	09/08/1998	Turnbull et al.	
		US- 5699044	12/16/1997	Van Lente et al.	
		US- 5613751	03/25/1997	Parker et al.	
		US- 5497305	03/05/1996	Pastrick et al.	
		US- 5477436	12/19/1995	Bertling et al.	
		US- 5384519	01/24/1995	Gotoh	
		US- 5371659	12/06/1994	Pastrick et al.	
		US- 5325271	06/28/1994	Hutchisson	
		US- 5303037	04/12/1994	Taranowski	

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		EP 0689000	09/09/1998			
		EP 0625793	09/09/1998			
		DE 3916875	12/06/1990			X
		JP 62-18775	01/27/1987			
		JP 62-235787	10/15/1987			

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 3**Complete if Known**

Application Number	10/791.667
Filing Date	03/02/2004
First Named Inventor	John K. Roberts
Art Unit	2875
Examiner Name	
Attorney Docket Number	GEN10 P-333A

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		Number-Kind Code <sup>2</sup> (if known)			
		US- 5255171	10/19/1993	Clark	
		US- 5143433	09/01/1992	Farrell	
		US- 5136483	08/04/1992	Schöniger et al.	
		US- 5083192	01/21/1992	Rzeznik et al.	
		US- 5008595	04/16/1991	Kazer	
		US- 4992704	02/12/1991	Stinson	
		US- 4947291	08/07/1990	McDermott	
		US- 4929866	05/29/1990	Murata et al.	
		US- 4882565	11/21/1989	Gallmeyer	
		US- 4807096	02/21/1989	Skogler et al.	
		US- 4733336	03/22/1988	Skogler et al.	
		US- 4646210	02/24/1987	Skogler et al.	
		US- 4580196	04/01/1986	Task	
		US- 4450512	05/22/1984	Kristofek	
		US- 4377768	03/22/1983	Gallaro et al.	
		US- 4298869	11/03/1981	Okuno	
		US- 4211955	07/08/1980	Ray	
		US- 3875456	04/01/1975	Kano et al.	

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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		CA 905475	07/18/1972			
		JP 7-283441	10/27/1995			X
		JP 7-312446	11/28/1995			X
		JP 5-205879	08/13/1993			X
		JP 8-154150	06/11/1996			X

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Sheet **3** of **3****Complete if Known**

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		Number-Kind Code <sup>2</sup> (if known)			
		US-			
		US-			
		US-			
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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		JP 3016636	10/09/1995			X
		WO 97/48134	12/18/1997			

Examiner Signature		Date Considered	
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Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	10/791,667
				Filing Date	03/02/2004
				First Named Inventor	John K. Roberts
				Art Unit	2875
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	GEN10 P-333A

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		DAVID H. BRAINARD, "COLORIMETRY, XP 002040706," Chapter 26, pages 26.1-26.53.	
		English Translation of 2087 ELEKTRONIC, Vol. 44, No. 15, 7/25/1995, page 134, "LED-Bauelement", p. 1.	
		J.L. SCHNAPF, ET AL., "Spectral Sensitivity of Human Cone Photoreceptors," NATURE, p. 439-441, (January 29, 1987).	
		English Translation of "White Color Developed by The Loser", Nikkei Mechanical, July 2000, p. 24-28.	
		E.F. SCHUBERT, ET AL., "Photon Recycling Semiconductor Light Emitting Diode (PRS-LED)," (Date unknown but prior to 11/28/00), p. 1-6,	
		White LED product announcement by Ashai Rubber, (February 9, 2000).	
		R.W.G. HUNT, "Measuring Colour," reprinted in 1992 by Ellis Horwood Limited, pages 38-79 and 124-133.	
		SAE J578, Surface Vehicle Standard - Color Specification, revised June 1995, p. 1-6.	

Examiner Signature		Date Considered	
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